ELSA Index File V3

User Guide

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1 Overview

This User Guide contains information about the third release of the English Longitudinal Study of Ageing (ELSA) Index File. This file may be considered to be a master file that provides links between the different Waves of ELSA and currently gives information relating to Waves 0, 1, 2 and 3. It is envisaged that equivalent information will be added for subsequent Waves, and that a new version of the file will be made available in 2010, which will contain information from Wave 4 as well as additional variables from earlier Waves.

This section of this User Guide gives an overview of what the file is for and how it was created. The sections that follow give detailed information about the variables in the file, which have been grouped under the broad headings of: Identifiers; Outcomes; Status; Weighting; Mortality; Demographics and Sampling.

ELSA is a study of people aged 50 and over and their partners, living in private households in England. The samples have been drawn from households that had previously responded to the Health Survey for England (HSE) between 1998 and 2004, with the exception of HSE 2000. Households from HSE 2000 have been sampled for piloting each wave of ELSA (and have not been included in the Index File). Fieldwork for ELSA Wave 1 was conducted in 2002-3, Wave 2 in 2004-5, Wave 3 in 2006-7 and Wave 4 in 2008-9. The fieldwork for Wave 5 is scheduled to run from 2010 to 2011.

The Index File contains key information such as analytical serial numbers, status at sampling and response outcomes as well as mortality data. Some of this information has already been archived with other ELSA datasets, whereas some is only available in this file.

This file contains all age-eligible individuals within households identified from HSE 1998, 1999 and 2001 – 2004 (over 24,700 people). It also contains all ineligible individuals living in households with interview-eligible individuals (around 6,400 for the original sample, and around 1,800 for the Wave 3 Refreshment Sample). The file contains a total of **32,900** individuals.

This file has been created by combining data from a number of sources, including HSE files, ELSA sample files, ELSA interview data and NHSCR records (from ONS). It is indicated next to each variable in the following sections of this User Guide where the variable originated from.

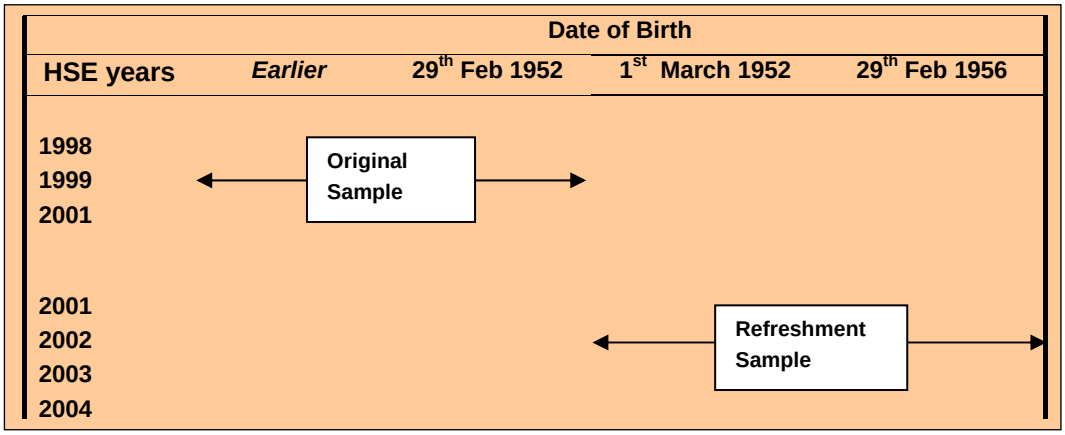
The aim of ELSA is to study a sample of people aged 50 and over. As the study progresses, all of our respondents get older and our sample effectively ages, therefore the youngest people need to be replaced as they are no longer represented. In order that our sample continues to be representative, new people from HSE 2001 - 2004 were sampled for Wave 3. The people selected for this additional sample were those aged 50 to 53 and their older/younger partners.

The original sample (also known as Cohort 1) consisted of people born before 1st March 1952 and their partners, while the Refreshment Sample (also known as Cohort 3) consisted of people born between 1st March 1953 and 29th February 1956 and their partners.

Note that there is an overlap between the original sample and the Refreshment Sample, as a number of young partners in the original sample (from HSE 2001) moved into their 50's in Wave 3 and so were potential refreshment sample core members (i.e. born after 29th February 1952). If they responded at Wave 3, these cases have changed status (see FINSTAT2 and FINSTAT3) from **C1YP** (Cohort 1 Younger Partner) to **C3CM** (Cohort 3 Core Member).

It is important for users to note that the algorithm used to select the Wave 3 Refreshment Sample **excluded** potential eligible sample members born between 1st March 1952 and 28th February 1953. This has resulted in a gap of one year's birth between the original and Refreshment samples. However, **103** of the potential eligible sample members born between 1st March 1952 and 28th February 1953 (the missing year of birth) were in fact successfully interviewed in Wave 3. Originally such individuals were classified as younger partners (if in the original sample) or older partners (if in the Refreshment sample). These have now been reclassified as core members belonging to the Refreshment Sample.

The diagram below clarifies the dates of birth that were eligible for each of the samples.



It is hoped that with the next version of the Index File, the following additional variables will be deposited:

- Weighting variables from the Wave 2 Nurse Data (available on the Wave 2 Nurse Data);
- Variables showing levels of consent to administrative data linkage and extraction and storage of genetic material;
- HSE clustering and stratification variables, updated for the Refreshment Sample (versions for the Core Sample are available on the previous version of the Index File as well as wave-specific archived datasets);
- Variables from the ELSA Life History interview (available on the Life History data);
- Variables from at least one ELSA End of Life interview.

For more information about ELSA, please see the User Guides for Waves 0, 1, 2 and 3, and the Technical Reports for Waves 1, 2 and 3, all of which are available from the UK Data Archive.

2 Identifiers

2.1 IDAUNIQ

All the ELSA data files deposited in the archive contain a unique individual analytical serial number (IDAUNIQ) to enable users to link the different files if necessary. Everyone in the Index File has a unique value for this variable.
The values of IDAUNIQ which were assigned to those new to the Index File at Wave 3 have been grouped a little differently to those assigned for Waves 0, 1 and 2. Analysts wishing to categorise Wave 3-only cases into the same strata as for earlier Waves are advised to use the variables HSEYR, FINSTAT3 and OUTINDW3 in this instance.

Variable	Variable label	Notes
Idauniq	Unique individual serial number	Derived for Index file, within strata below individuals were randomly ordered. 100001 – 100034 = new partner at W1, non-responder at W1 100035 – 100106 = new partner at W1, responded at W1 100107 – 101026 = HSE 1998, not issued at W1 101027 – 103711 = HSE 1998, issued, non-responder at W1 103712 – 108862 = HSE 1998, issued, responded at W1 108863 – 109411 = HSE 1999, not issued at W1 109412 – 110841 = HSE 1999, issued, non-responder at W1 110842 – 113098 = HSE 1999, issued, responded at W1 113099 – 114009 = HSE 2001, not issued at W1 114010 – 116680 = HSE 2001, issued, non-responder at W1 116681 – 121300 = HSE 2001, issued, responded at W1 121301 – 121338 = new partner at W2 responded at W2 121339 – 121358 = new partner at W2, non-responder at W2 121360 – 121384 = new partner at W3, responded at W3 121385 – 121399 = new partner at W3, non-responder at W3 150001 – 151609 = W3 refreshment sample, issued, responded at W3 151610 – 152470 = W3 refreshment sample, issued, non-responder at W3 152471 – 152491 = new partner of W3 refreshment sample, responded at W3 152492 – 152503 = new partner of W3 refreshment sample, non-responder at W3 152504 – 152858 = W3 refreshment sample, issued, non-responder at W3 152860 – 152974 = HSE 2001, not issued at W3 refreshment sample 152975 – 153087 = HSE 2002, not issued at W3 refreshment sample 153088 – 153249 = HSE 2003, not issued at W3 refreshment sample 153250 – 153344 = HSE 2004, not issued at W3 refreshment sample 700001 – 706440 = non-eligible individuals in core sample households 800001 – 801826 = non-eligible individuals in W3 refreshment sample households

Notes

1.) IDAUNIQ 121359 was assigned to someone thought to be new partner, but who was then found to be an existing sample member.
2.) IDAUNIQ 150589 was assigned to someone thought to be a responding refreshment sample member, when in fact they were a non-responder.
3.) IDAUNIQ 152589 is a non-responding new partner of a Wave 3 refreshment sample member.
4.) IDAUNIQ 705145 became eligible for interview at Wave 3 (by becoming the partner of the ELSA sample member in the household) but their IDAUNIQ has been left as originally assigned when they were not eligible for interview.

5.) There are **24** values of IDAUNIQ beginning with a '7' (excluding 705145) which belong to individuals that have been **eligible** for at least one Wave of ELSA. These cases were identified as being among those from HSE 2001 where the same household was selected twice for ELSA – once as part of the original sample and once as part of the Refreshment Sample. Please see the User Guide of the latest version of the Wave 3 Core Data for further clarification of this issue, and section 2.5 of this User Guide for the variables which show the identifiers that these cases were previously known as.

2.2 Person Number

Each person within the household was given a number, starting from 1, at the time of the HSE interview (PERSNO). These person numbers were fed forward into the ELSA interview and are intended to remain the same over time. The numbering was continued for new people that entered the household after the HSE interview, e.g. if there were three people in the household at HSE and someone else was found to have joined the household at ELSA Wave 3, they would be assigned a person number of 4.

Variable	Variable label	Original source
Persno	Person number within household	Included in original HSE sampling files or filled in from household grid at first Wave they were interviewed. Present for all individuals in the Index File.

2.3 Wave-specific Household Serial Numbers

For each Wave, there is a randomly generated five-digit household serial number (IDAHHW0, IDAHHW1, IDAHHW2 or IDAHHW3). These serial numbers do not relate to the serial numbers used during interviewing at HSE or ELSA, and the serial numbers were generated anew for each Wave.

Variable	Variable label	Original source
Idahhw0	Analytical Wave 0 household serial number	Derived Missing for all those who were not in a responding household at HSE.
Idahhw1	Analytical Wave 1 household serial number	Derived Present for all individuals in responding households at Wave 1.
Idahhw2	Analytical Wave 2 household serial number	Derived Present for all individuals in responding households at Wave 2.
Idahhw3	Analytical Wave 3 household serial number	Derived Present for all individuals in responding households at Wave 3.

Notes

1.) There are a small number of cases who have a value of IDAHHW3 beginning with a '2'. These cases have values of IDAUNIQ which suggest they were ineligible for interview – this is re-iterated in their outcome code. These cases are ex-partners of Refreshment Sample members who have moved to a different address since HSE. They will not be followed up for future ELSA interviews as they are ineligible in their own right. Please see the documentation associated with Wave 3 from the UK Data Archive for further clarification of eligibility for interview.
2.) It is unknown from the Wave 3 interview whether IDAUNIQ 801791 was still in IDAHHW3 13571 at the time. It has been assumed that they were not for the purposes of this file.
3.) There are 2281 cases which have a missing value (either **-2** or **-5**) for all four of the IDAHHWx's. These cases have either never been issued for ELSA, were issued for Wave 3 but were unproductive, or were ineligible but in the household with the latter group.
4.) We estimate that at least 1500 of the above 2281 cases who are from the Wave 3 Refreshment Sample and were in responding households at HSE, will have an IDAHHW0 assigned in future when the HSE data for these cases is archived as an 'addition' to the existing Wave 0 data. For now, the cases who we think fall into this group have a value of **-5** for IDAHHW0.
5.) IDAHHW3's 15385 and 11192 have had identical addresses since HSE but are considered separate households as the latter is an annex to the former property.
6.) The cases that have a **-2** for any of the IDAHHWx's were not present in a responding household at that wave. This could be because they were in the household at the time of the HSE interview but had moved out by the time of the ELSA interview, or because they had moved out between waves, or because they had died.

2.4 PREV_IDA and PREV_HHW3

As mentioned in Section 2.1, there are some cases which have an IDAUNIQ beginning with a '7' who were eligible for interview. This is due to the discovery, during the process of updating the Index File for Wave 3, that a small number of cases from the Refreshment Sample were living in households that had already been sampled for (and responded to at least) Wave 1 of ELSA. These cases have had their IDAUNIQ's changed to those originally assigned to them when they were not eligible for interview in their own right.
There are two new variables in the file which show the identifiers that a case had in previous versions of the Index File. PREV_IDA shows the IDAUNIQ while PREV_HHW3 shows the IDAHHW3.
We will be clarifying this issue further with a new release of the ELSA Wave 3 Core Data and User Guide in the near future.

3 Outcome Variables

The Index File includes the key outcome variables for each wave: household, individual, and self-completions. We hope to add further outcome variables with the next version of the file.

With the Core Data for each wave, only outcome codes for productive interviews are archived, but information about unproductive interviews is archived with the Index File. Broadly, the outcome codes and status variables (for individuals) can be classified under the headings of 'response', 'non-response' or 'ineligible'. Further details are not given here, however, as the calculation of response rates for ELSA is beyond the scope of this User Guide. Users of the data are advised to seek further information about these rates from the ELSA Technical Reports, which are available from the UK Data Archive.

Note that there are differences within the HSE household and individual outcome codes as different HSE years use different codes. They have not been assimilated either within themselves or to the ELSA outcome codes, but this may be carried out for a later version of the file.

Variable	Variable label	Original source
Outhhw0	HSE survey household outcome -2 Not in household or ineligible for interview 41 All interviewed in person 42 At least one person interviewed but not all 44 No interviews - all refused/broken appointments 45 No interviews - other reasons/combinations 110 Complete interview by desired respondents 212 Partial - non-contact with other household members 213 Partial - refusals from other household members 214 Partial - partial for other (combination of) reasons	HSE / Wave 0 survey data variable *FINOUTC*
Outindw0	HSE survey individual outcome -2 Not in household or ineligible for interview -1 Was in household but does not have an outcome code 51 Full interview 52 Partial interview 53 Full interview in translation 70 No contact 71 Personal refusal 72 Proxy refusal 73 Broken appointment 74 Ill at home 75 Ill in hospital 76 Away from home 77 Senile/incapacitated 78 Inadequate English 79 Other reasons – no interview 110 Full CAPI interview 210 Partial CAPI interview 340 No contact 431 Refusal before interview (personal) 432 Refusal before interview (proxy) 440 Refusal during interview 450 Broken appointment, no recontact 510 Ill at home during survey period 521 Away during survey period 540 Language difficulties	HSE / Wave 0 survey data variable *INDOUT*
Outscw0	HSE self-completion outcome -3 Not asked - was third child in household -2 Not asked - was aged less than 8 -1 Not applicable - see User Guide 1 Fully completed 2 Partially completed 3 Not completed	HSE survey data variables not archived elsewhere
Outhhw1	Wave 1 household outcome (updated with mortality information) -2 Not in household or ineligible for interview 110 Fully productive – all in person	Wave 1 variable *RTHHOUT* updated with mortality data

	121 Fully productive – part in person, part by proxy 122 Fully productive – all by proxy 210 Partially productive – some but not all eligible resp interviewed 310 No contact with anyone at address 330 Contact made but not with responsible resident 340 Contact made but not with eligible resident 410 Refusal to office 420 Refusal of info about occupants of address 431 Refusal at intro/before HH module by eligible respondent 432 Refusal at intro/before HH module by other 440 Refusal after HH module 450 Broken appointment, no recontact 510 Ill at home during survey period 520 Away in hospital all survey period 530 Physically/mentally unable/incompetent 540 Language difficulties 550 Lost productive 560 Other unproductive 561 Productive but respondent requested deletion 610 Address not attempted 620 Address inaccessible 630 Unable to locate address 680 Moved – unable to trace 781 Address out of sample – moved to institution 782 Duplicate address 783 Address out of sample – moved out of England 791 Ineligible – all SM died 792 Ineligible – SM ineligible 793 Ineligible – other reason 799 Died (updated, outcome unprod) 999 Sector not covered	
Outindw1	Wave 1 individual outcome (updated with mortality information) -2 Not in household or ineligible for interview 11 Full interview in person 13 Full proxy interview 21 Partial interview in person 23 Partial proxy interview 31 No contact 43 Refusal before interview 44 Refusal during interview 45 Broken appointment, no recontact 51 Ill at home during survey period 52 Away/ill in hospital during survey period 53 Physically/mentally unable/incompetent 54 Language difficulties 55 Lost productive 56 Other unproductive 79 Died (ineligible) 99 Died (updated, outcome unproductive) 310 No contact with anyone at address 330 Contact made but not with responsible resident 340 Contact made but not with eligible resident	Wave 1 variable *INDOC* updated with mortality data

	410 Refusal to office 420 Refusal of info about occupants of address 431 Refusal at intro/before HH module by eligible respondent 432 Refusal at intro/before HH module by other 440 Refusal after HH module 450 Broken appointment, no recontact 510 Ill at home during survey period 520 Away in hospital all survey period 530 Physically/mentally unable/incompetent 540 Language difficulties 550 Lost productive 560 Other unproductive 610 Address not attempted 620 Address inaccessible 630 Unable to locate address 680 Moved – unable to trace 781 Address out of sample – moved to institution 782 Duplicate address 783 Address out of sample – moved out of England 791 Ineligible – all SM died 792 Ineligible – SM ineligible 793 Ineligible – other reason 999 Sector not covered	
Outscw1	Wave 1 self-completion outcome -2 Not asked, interviewed by proxy -1 Not applicable – see User Guide 1 Questionnaire received 2 Received but majority of questions not answered 3 Not received	Wave 1 variables not archived This variable is an improved version of *SC_REC*, which is in the main Wave 1 dataset.
Outhhw2	Wave 2 household outcome (updated with mortality information) -2 Not in household or ineligible for interview 110 All eligible respondents interviewed in person 120 All eligible respondents interviewed (some in person, some by proxy) 210 Some but not all eligible respondents interviewed 310 No contact with anyone at address 330 Contact made but not with responsible adult 340 Contact made but not with eligible respondents 410 Office refusal 420 Complete refusal of info about occupants of address 430 Refusal at intro/before HH module 440 Refusal after HH module completed 450 Broken appointment 510 Ill at home during survey period 520 Away from home/in hospital during survey period 530 Physically/mentally unable/incompetent 540 Language difficulties 560 Other unproductive 610 Address not issued to interviewer 630 Unable to locate address 682 Moved – address obtained but not attempted 700 Address does not exist	*W2HHOUT* (from Wave 2 main data) with mortality updates

	720 Address demolished/derelict 730 Address vacant/empty 780 All eligible respondents moved out of Britain 781 All eligible respondents moved into institution 791 All eligible respondents died 910 No follow-up address obtained	
Outindw2	Wave 2 individual outcome (updated with mortality information) -2 Not in household or ineligible for interview 11 Full interview in person 13 Full proxy interview 21 Partial interview in person 23 Partial interview by proxy 31 No contact 43 Refusal before interview 44 Refusal during interview 45 Broken appointment 46 Office refusal 51 Ill at home during survey period 52 Away/in hospital during survey period 53 Physically or mentally incompetent 54 Language difficulties 56 Other unproductive 60 Untraced 68 Moved – unable to attempt contact at new address 71 In institution 78 Moved – out of Britain 79 Outcome unknown 90 Died 99 Died (updated, outcome unproductive)	*W2INDOUT* (from Wave 2 main data) with mortality updates
Outscw2	Wave 2 self-completion outcome -2 Not asked, interviewed by proxy -1 Not applicable – see User Guide 1 Questionnaire received 2 Received but majority of questions not answered 3 Not received	*OUTSCW2* (from Wave 2 main data)
Outhhw3	Wave 3 household outcome (updated with mortality information) -2 Not in household or ineligible for interview 110 All eligible respondent(s) interviewed in person 120 All eligible respondent(s) interviewed (some by proxy) 210 Some but not all eligible respondents interviewed 310 No contact with anyone at address 330 Contact made at address but not with responsible adult 340 Contact made but not with eligible respondent 410 Office refusal 420 Complete refusal of info about occupants of address 430 Refusal at introduction/ before HH module 440 Refusal after HH module 450 Broken appointment - no re-contact 510 Ill at home during survey period 520 Away from home/in hospital during survey period	*W3HHOUT*(from Wave 3 main data) with mortality updates

	530 Physically/ mentally unable/incompetent 540 Language difficulties 550 Respondent requested data deletion 560 Other unproductive 612 OFFICE APPROVAL ONLY - Address not attempted 620 OFFICE APPROVAL ONLY - Address inaccessible 630 OFFICE APPROVAL ONLY - Unable to locate address 710 In an institution – unproductive 780 All eligible respondents moved out of Britain 781 NO follow up for institution address obtained 790 OFFICE APPROVAL ONLY - All of the sample are ineligible 791 All eligible respondents died (updated) 910 Moved - no follow-up address obtained 920 Moved - follow-up address outside area	
Outindw3	Wave 3 individual outcome (updated with mortality information) -2 Not in household or ineligible for interview 11 Full interview in person 13 Full interview by proxy 21 Partial interview in person 24 Institutional interview in person 25 Institutional interview by proxy 31 No contact 43 Refusal before interview 44 Refusal during interview (computed) 45 Broken appointment - no re-contact 46 Office refusal 51 Ill at home during survey period 52 Away/ill in hospital during survey period 53 Physically or mentally unable/incompetent 54 Language difficulties 55 Respondent requested data deletion 56 Other unproductive 60 Untraced 71 In a institution, unproductive 77 Ineligible - partner who is now not living with Core Member 78 Out of Britain 79 Ineligible (issued in error) 95 Died 99 Died (updated, outcome unproductive)	*W3INDOUT* (from Wave 3 main data) with mortality updates
Outscw3	Wave 3 core self-completion outcome -2 Not asked - interview by proxy -1 Not applicable - see User Guide 1 Questionnaire received 2 Received but majority of questions not answered 3 Not received	*OUTSCW3* (from Wave 3 main data)
Outschw3	Wave 3 health self-completion outcome -3 Respondent was not part of the sub-sample selected to receive that questionnaire -2 Not asked - interview by proxy	*OUTSHW3* (from Wave 3 main data)

	-1 Not applicable - see User Guide 1 Questionnaire received 2 Received but majority of questions not answered 3 Not received	
Outscww3	Wave 3 work self-completion outcome -3 Respondent was not part of the sub-sample selected to receive that questionnaire -2 Not asked - interview by proxy -1 Not applicable - see User Guide 1 Questionnaire received 2 Received but majority of questions not answered 3 Not received	*OUTSWW3* (from Wave 3 main data)

Notes

1.) 13 cases from HSE 1998 had missing or incorrect outcomes for OUTINDW0 (IDAUNIQ=100355, 100456, 100677, 100725, 100771, 100838, 101744, 101842, 103612, 100821, 100362, 100636, 100710). Two of these cases, 100710 and 100636, have been changed because they had been classified as a productive interview but in fact they were not. This was due to an error with the interview program itself. There are also two additional cases from HSE 2001 that have had their outcome changed as they asked for their data to be deleted. These cases are IDAUNIQ =113965 and IDAUNIQ =113373.

2.) There are two cases who were eligible for a full in-person main interview at Wave 2 who were accidentally routed through the 'by proxy' questions (IDAUNIQ=116787 and IDAUNIQ =117471). Both of these respondents live alone and have outcomes showing full in-person interview, and both were eligible for a nurse visit.

3.) The cases which have a value of -1 for the self-completion outcomes were not productive at that Wave.

4.) There are just over 200 cases who were in the household at the time of the HSE interview but do not have an outcome code. This could be for a number of reasons, one of which is that only two children per household were selected for the HSE interview, so any more than two children will not have an outcome code. This is also the case for the HSE self-completion outcome, where additionally any children aged less than 8 were not given a self-completion questionnaire.

4 Status Variables

These variables describe the status of the individuals in terms of how they were classified for sampling, then after each interview, and any related fieldwork status information.

4.1 Eligibility for Interview

Eligibility for interview at Wave 3 is shown by ELIGW3 (with equivalent variables for the earlier Waves). This variable reflects the information found at the Wave 3 interview rather than what was thought at the time of issuing the Wave 3 sample. Respondents who were found to have died at the

Wave 3 interview and also through the mortality update are coded -1 for ELIGW3. This is also the case for ELIGWx for earlier waves.
ELIGW3 was derived from a combination of sampling information, eligibility for earlier interviews, interview outcome information and information fed forward from HSE plus previous ELSA interviews.

Variable	Variable label	Original source
Eligw0	Eligibility for Wave 0 interview -1 Not in household at Wave 0 or unknown at HSE 0 In household and ineligible for Wave 0 1 In household and eligible for Wave 0	Derived
Eligw1	Eligibility for Wave 1 interview -1 Not in household at Wave 1 or unknown at Wave 1 0 In household and ineligible for Wave 1 1 In household and eligible for Wave 1	Derived
Eligw2	Eligibility for Wave 2 interview -1 Not in household at Wave 2 or unknown at Wave 2 0 In household and ineligible for Wave 2 1 In household and eligible for Wave 2	Derived
Eligw3	Eligibility for Wave 3 interview -1 Not in household at Wave 3 or unknown at Wave 3 0 In household and ineligible for Wave 3 1 In household and eligible for Wave 3	Derived

Notes
1.) The updating of ELIGW0 for the refreshment sample is more complex and will not be completed until the HSE data for these cases is archived as an 'addition' to the existing Wave 0 data. There are at least the 1500 cases mentioned in Note 4 under Section 2.3 above who currently have a value of ELIGW0 = -1 but will have a value denoting eligibility in the future.

4.2 Reason for not being issued

The variable ISSUEW3 shows whether a case was issued for interview at Wave 3, and if not, the reasons for this.
This variable has been calculated differently to previous Waves. Previous versions have included new partners found at that Wave as being issued, whereas now new partners discovered at the Wave 3 interview have a value of -9.
There is a new category for those who were not issued but did have a productive Wave 3 interview, which includes of a small number of cases who were not issued as we were mistakenly informed that they had died prior to Wave 3.
There is another new category of 7 for a small number of cases who did not fit into any of the existing categories.
Those who are not applicable because they are ineligible for interview (i.e. children in the household who will never be eligible for interview) have a value of -10.
The information to compile ISSUEW3 came from pre-Wave 3 fieldwork updates, including those of deaths and moves abroad.

Variable	Variable label	Original source
Issuew1	Reason for not being issued at Wave 1 -10 Not applicable as ineligible for interview -9 Not known at time -5 Part of Wave 3 Refreshment Sample 1 Dead 2 Refused re-interview 3 Details incorrect/insufficient 8 Other ineligible 9 Other non-response 10 Issued	Derived
Issuew2	Reason for not being issued at Wave 2 -10 Not applicable as ineligible for interview -9 Not known at time -8 No CM respondent in HH -7 CM non-respondent -5 Part of Wave 3 Refreshment Sample 1 Dead 2 Refused re-interview 3 Details incorrect/insufficient 4 Moved out of GB 5 Moved into institution 10 Issued	Derived
Issuew3	Reason for not being issued at Wave 3 -10 Not applicable as ineligible for interview -9 Not known at time of issuing -8 No CM respondent in HH -7 CM non-respondent 1 Dead 2 Refused re-interview 3 Details incorrect/insufficient 4 Moved out of GB 6 Not issued but did have productive interview at Wave 3 7 Other reason 8 Other ineligible 9 Other non-response 10 Issued	Derived

Notes

1.) 18 people (from 11 households) were mistakenly classified as not having an HSE (1999) interview at the sampling stage. Their IDAUNIQ values are 108937, 109287, 109055, 108293, 109334, 108983, 109395, 109335, 108981, 108880, 109282, 109005, 109136, 108986, 109065, 109124, 109255, and 108906. These cases have a Wave 0 outcome code of 53 (full interview in translation). If these people had been correctly categorised they would have been issued for interviewing. Also note that residing within these 11 households are two additional people. One was a person who was known to have died prior to fieldwork (IDAUNIQ = 109164). The other was a person that did not take part in an HSE interview (IDAUNIQ = 108969, OUTINDW0=71).

4.3 Sampling Status at HSE

The existing variable, SAMPSTAT, has been updated to include information for the Wave 3 Refreshment Sample. If you wish to pick out these cases then their IDAUNIQ's can be used as they will have values of greater than 150000 (but less than 700000) or greater than 800000.
Note that the partners are designated 'potential' interviewees at the sampling stage and that values of FINSTAT should be used to tell who those cases sampled actually were.

Variable	Variable label	Original source
Sampstat	Sampling status at HSE, updated for Refreshment Sample -1 Not known at HSE or ineligible SM Sample member YP Younger partner OP Older partner	Amalgamation of information from original HSE sampling files and Wave 3 sample file

Note:
1.) There is one case (IDAUNIQ 800220) who was thought to be a (potential) younger partner at the sampling stage, but at the interview was found to have split from their sample member-partner and was therefore ineligible for interview in their own right (and therefore have ELIGW3=0).

4.4 Final Status after ELSA Fieldwork

FINSTAT and FINSTAT 2 had previously been 'forward-coded' so that they each had the same number of valid values. In other words, FINSTAT contained values for people such as NP2's. This has not been repeated for FINSTAT3.
Users of the data are advised to look at the variables denoting eligibility for interview, as well as those showing whether someone was issued for each Wave, for the reasons why cases are missing FINSTAT's at any wave.

Variable	Variable label	Original source
Finstat	Final status after Wave 1 fieldwork C1CM = core sample member, first responded at W1 C1NP1 = new partner found W1, first responded at W1 C1NP2 = new partner found W2, responded at W2 C1YP = younger partner, first responded at W1 C1SM_notiss = unconfirmed sample member not issued at W1 C1SM_unprod = sample member, first non-response at W1 C1CP_unprod = core sample member, first non-response at W1 but partner of a C1CM C1YP_notiss = unconfirmed younger partner not issued at W1 C1YP_unprod = younger partner, first non-response at W1 C1NP1_unprod = new partner found W1, first non-response at W1 C1NP2_unprod = new partner found W2, non-response at W2 See ELIGW1 = was either in the household and ineligible or not in the household at W1. See ELIGW1 for further details	Derived 'C1' indicates the individuals were sampled as part of cohort 1 (at Wave 1) 'CM' indicates the individuals are considered to be in the ELSA panel 'CP', 'NP1' and 'YP' indicates the individuals are eligible but not part of the ELSA panel
Finstat2	Final status after Wave 2 fieldwork C1CM = core sample member, responded at W1 & W2 C1CP = core sample member partner of a C1CM, non-response at W1, responded at W2	Derived from *FINSTAT* and *OUTINDW2* – please note the differences in the labels of the categories between FINSTAT

	C1NP1 = new partner found W1, responded at W2 C1NP2 = new partner found W2, responded at W2 C1YP = younger partner, responded at W2 C1CM_unprod = core sample member, responded at W1, non-response at W2 C1CP_unprod = core sample member partner of a C1CM, non-response at W1 & W2 C1NP1_unprod = new partner found W1, non-response at W2 C1NP2_unprod = new partner found W2, non-response at W2 C1YP_unprod = younger partner, non-response at W2 C1SM_unprod = sample member, non-response at W1 & W2 See ELIGW2 = was either in the household and ineligible or not in the household at W2. See ELIGW2 for further details	and FINSTAT2 As for *FINSTAT*, but additionally 'NP2' indicates the individuals who are eligible but not part of the ELSA panel Note that this variable is the same as that labelled *FINSTAT* in the main Wave 2 archived data
Finstat3	Final status after Wave 3 fieldwork C1CM = core sample member, responded at W1 & W3 C1CP = core sample member partner of a C1CM, non-response at W1, responded at W3 C1NP1 = new partner found W1, responded at W3 C1NP2 = new partner found W2, responded at W3 C1NP3 = new partner found W3, responded at W3 C1YP = younger partner, responded at W3 C1CM_unprod = core sample member, responded at W1, non-response at W3 C1CP_unprod= core sample member partner of a C1CM, non-response at W1& W3 C1NP1_unprod = new partner found W1, non-response at W3 C1NP2_unprod = new partner found W2, non-response at W3 C1NP3_unprod = new partner found W3, non-response at W3 C1YP_unprod = younger partner, non-response at W3 C1SM_unprod = sample member, non-response at W1 & W2 C3CM = refreshment sample core member, responded at W3 C3CP = refreshment sample member, non-response at W3 (see note) C3SM_notiss = refreshment sample member, not issued at W3 C3NP3 = refreshment sample new partner found W3, responded at W3 C3OP = refreshment sample older partner, responded at W3 C3YP = refreshment sample younger partner, responded at W3 C3SM_unprod = refreshment sample member, non-response at W3 C3NP3_unprod = refreshment sample new partner found W3, non-response at W3 C3OP_unprod = refreshment sample older partner, non-response at W3 C3YP_unprod = refreshment sample younger partner, non-response at W3 See ELIGW3 = was either in the household and ineligible or not in the household at W3. See ELIGW3 for further details	Derived from *FINSTAT* and *OUTINDW3* As for *FINSTAT2*, but additionally 'NP3', 'OP' and 'YP' indicates the individuals who are eligible but not part of the ELSA panel Note that this variable is the same as that labelled *FINSTAT* in the main Wave 3 archived data Some values of *FINSTAT* now do not refer to response at consecutive Waves, e.g. C1CM, C1CP Please see the interview outcome codes for the outcome of Wave 2

Notes

1.) All known new partners are included in the variables above but note that some will not have been enumerated because of missing information from non-responding households. This implies that response rates for new partners cannot be calculated because the denominator is unknown.

2.) Note that the core sample and the refreshment sample overlap as a number of young partners in the original sample (from HSE 2001) moved into their 50's in Wave 3 and so were potential refreshment sample core members (i.e. born after 29 February 1952). If responding at Wave 3, these cases changed status from C1YP to C3CM.

3.) C3CP – Respondents who have this FINSTAT3 were sampled as Refreshment Sample Core Members but did not respond at Wave 3. However, someone else in their household is a C3CM. These cases are similar to C1CP's at Wave 1.

4.) IDAUNIQ 151361 was sampled as a potential core member but due to discrepancy with their date of birth recorded at the HSE interview, they have a FINSTAT3 of C3YP.

5 Weighting Variables

This version of the Index File has been expanded to include Wave 3 weighting variables, as well as self-completion questionnaire weights from Waves 1, 2 & 3. We plan to match on weighting variables from the Wave 2 Nurse Visit in the next version of the file.
Please see the Wave 3 Core Data User Guide for further information about the Wave 3 weights W3XWGT and W3LWGT, especially for clarification about which cases have a value for them.

For the self-completion weights, they were created initially only for Core Members whose self-completion questionnaire was received with the majority of questions answered (i.e. they had a value of 1 for the self-completion outcome code, which is named OUTSCWx). The Wave 3 cross-sectional weight was used in a logistic regression, containing a number of predictors of response to ELSA. From this regression model, a trimmed non-response weight was derived. This weight was then multiplied by the Wave 3 cross-sectional weight and scaled.
For further details of the derivation of all three self-completion weights, please see Appendix 1 - the derivation for each is very similar.

Variable	Variable label	Original source
W1wgt	Wave 1 non-response weight for all core sample members	Derived
W2wgt	Wave 2 non-response weight for all core sample members	Derived
W3lwgt	Wave 3 longitudinal weight for core sample members who responded at all Waves	Derived
W3xwgt	Wave 3 cross-sectional weight - see Wave 3 Core User Guide for details	Derived
Scw1wgt	Wave 1 self-completion weight	Derived
Scw2wgt	Wave 2 self-completion weight	Derived
Scw3wgt	Wave 3 core self-completion weight	Derived

Notes

1.) The weighting variables are the only ones in the Index File where missing values have not been assigned, and therefore those cases that do not have a value are system missing in the file. This is to ensure that no values are erroneously used if the weights are applied to the data.

6 Mortality Variables

Information about whether respondents have died has been obtained from a number of sources:

- Collected by interviewers during fieldwork.
- Communication from relatives and others between Waves of fieldwork.
- From the Department for Work and Pensions (DWP) as part of our procedure to try and trace respondents who have moved. We only obtain information about those respondents who have given us permission to link their data to DWP records.
- From the National Health Service Central Register (NHSCR) held by the Office of National Statistics (ONS). Again, we only obtain information about those respondents who have given us permission to link their data to NHSCR records.

Variable	Variable label	Original source
Mortfin	Current mortality status (from all sources) 1.00 Alive/not known to have died 2.00 Dead	Derived from NHSCR records, Wave outcomes and panel maintenance contact data.
Yrdeath	Year of death -3 Details being checked with ONS -2 Information not available or not applicable Otherwise gives year of death	Derived from NHSCR records
Agedead2	Age at death, with those aged 90 or over re-coded to avoid disclosure -3 Details being checked with ONS -2 Information not available or not applicable 99 Aged 90 or over Otherwise gives age at death	Derived from NHSCR records
Maincod	Main cause of death using ICD 9 and 10 – grouped -2 ICD information not available -1 Alive or no permission given to check NHSCR records 1 Cancer 2 CVD 3 Respiratory 4 Other	Derived from NHSCR records
Mortwave	Data source used and when died in relation to survey Wave – see further note below -5 Joined household after HSE and ineligible for interview - will not have mortality data -3 Details being checked with ONS 0.00 Alive/not known to have died 11.00 Pre-Wave 1 issue – Wave 1 sampling 12.00 Pre-Wave 1 – Wave 1 fieldwork 13.00 Pre-Wave 1 issue - external update 21.00 Post-Wave 1 issue & pre-Wave 2 issue – Wave 2 sampling 22.00 Pre-Wave 2 – Wave 2 fieldwork 23.00 Post-Wave 1 issue & pre-Wave 2 issue - external update 31.00 Post-Wave 2 issue & pre-Wave 3 issue – Wave 3	Derived from NHSCR records, wave outcomes and panel maintenance contact data

sampling
32.00 Pre-Wave 3 – Wave 3 fieldwork
33.00 Post-Wave 2 issue & pre-Wave 3 issue - external update
43 Post-Wave 3 issue & pre-Wave 4 issue - external update

Notes

1.) We have checked the quality of the mortality data by looking at sex and date of birth. For every case sex matches, but for 86 of the cases the date of birth is different (either day, month, year or more than one of these components). For the cases that did not have the same date of birth the name of the person has been compared in the mortality data against HSE data. Occasionally there were small differences between the names that were probably typographical errors.

2.) There were a number of respondents where NHSCR records did not indicate that they had died but they are flagged as being found to be dead (found during fieldwork or other communications).

3.) After Wave 1 of ELSA we introduced the 'End of Life Interview', for which we approach a close friend or relative of an eligible ELSA respondent who has died since Wave 1 to do an interview about the deceased.
During Wave 3 fieldwork we found that a small number of respondents who we had been informed were dead via one of the sources listed above, were in fact still alive. These respondents have had their mortality information corrected in this Index file. Any other cases discovered after this release of the data has been deposited will not be updated until we produce a second release of the Index File. We expect the number of such cases to be very small, if any at all. The majority of these respondents were thought to have died in-between the time of the Wave 2 interview and the time of the Wave 3 interview, but one respondent was thought to have died in-between Wave 1 and Wave 2 and so was not issued for the latter.

4.) There are 263 cases that have died but we do not have any information from NHSCR records for them. They can be identified as having a value of ‘2’ in MORTFIN but a value of ‘-2’ in YRDEATH or AGDEAD2.

5.) There are five cases which have a year and age of death from the NHSCR records, but do not have cause of death (ICD) information. They have a value of -2 in MAINCOD.

6.) Further, one of these five cases (IDAUNIQ 100277) has a date of death in the NHSCR records which is *before* their HSE interview. We are currently checking these details with ONS but for the time being, the variables relating to the time and age of their death have been set to -3 (‘Details being checked with ONS’).

Additional note about MORTWAVE and the sources of information referred to:
Sampling refers to checks conducted during the sampling procedure for that wave. Data from a number of sources are checked, such as outcome from the previous interview, ONS mortality status, and ad-hoc feedback from panel maintenance through activities such as pre-advance letters and Christmas cards;
Fieldwork refers to information received by interviewers and the wider survey team, whilst conducting fieldwork. This may be from other sample members who knew the person concerned;
External update refers to updated NHSCR records being received from ONS and fed back into the data.
So, using the time periods associated with the sampling of Waves 1, 2 and 3 as an example:

Pre-Wave 1 Issue – this refers to all dates prior to being issued for the Wave 1 interview. The sample for Wave 1 was issued in three batches with a deadline assigned for each batch. If someone had died before this deadline then the time period was labelled as 'pre-Wave 1 issue'. The date when the batch was issued was assumed to be the first day of that month to make the calculations easier.
Pre-Wave 1 Interview – this refers to the period between being issued for the Wave 1 interview and the interviewer trying to make contact.
Post-Wave 1 Issue and Pre-Wave 2 Issue – this refers to the period between the interviewer completing the Wave 1 interview and the respondent being issued for the Wave 2 interview. The Wave 2 sample was issued in monthly batches with a deadline assigned for each batch.
Pre-Wave 2 Interview – this refers to the period between being issued for the Wave 2 interview and the interviewer trying to make contact.
Post-Wave 2 Issue and Pre-Wave 3 Issue – this refers to the period between the interviewer completing the Wave 2 interview and the respondent being issued for the Wave 3 interview. The Wave 3 sample was issued in two batches with a deadline being assigned for each batch.

7 Demographic Variables

The Index File contains demographic information relating to the year of birth and the sex of the respondent. This information is in addition to the information relating to sex, year of birth and age present in each of the archived main data sets.
The year of birth has been collapsed for those aged 90 or over as at 29th February 2006. This is in line with what is done on the main archived core data for confidentiality reasons.

Variable	Variable label	Original source
Sex	Sex of respondent -8 Information not known 1 Male 2 Female	HSE (*SEX*), W1 (*INDSEX*), W2 (*INDSEX*) and W3 (*INDSEX*) survey data
Dobyear	Year of birth, collapsed for those aged 90 or over (for confidentiality reasons) -8 Information not known -7 Respondent aged 90 or over as at 29/02/2006 Otherwise gives year of birth.	HSE (*DOBDAY, DOBMON, DOBYEAR*), W1 (*DHDOB*), W2 (*DHDOB*), W3 (*DHDOB*)

Notes
1.) The reason that the sex or date of birth of some respondents is not known is that they were not the person who answered the household demographics module at either HSE or ELSA, and the person who did answer did not know their details. Alternatively, their details could be missing as they were not selected for the HSE interview. If someone's date of birth was not known or not given then their age usually was.

8 Sampling Variables

The Index File contains a number of variables from HSE which were used in sampling for both the ELSA Core Sample and the Refreshment Sample.

8.1 HSE Year

The HSE year from which the respondent's household was originally sampled is given by the variable HSEYR. All household members present at the time of the HSE interview will have a value. Those who do not have a value are either new partners (who have joined the household at either Wave 1, Wave 2 or Wave 3 – see the FINSTAT variables for more information) or other household members, ineligible for interview in their own right, who have joined the household since HSE. The variable, NOSAMP, in addition, shows which of the new partners have responded to at least one wave of ELSA.

Variable	Variable/value labels	Original source
Hseyr	HSE source survey year -3 Ineligible for interview and joined the household after HSE -2 New partner who joined the household after HSE Otherwise gives the HSE year.	Included in original HSE sampling files
Nosamp	Responding New Partner - no sample design information as not in household at HSE -1 Not applicable – not in HSE and has not responded, includes ineligibles. 0 In HSE sample 1 Not in HSE but responded to at least one Wave of ELSA	Derived

Notes

1.) Full sample design variables are only available for cases that were in HSE and responded to at least one ELSA Wave. Those who responded to at least one ELSA wave but were not in HSE have NOSAMP equal to 1.

2.) There are three cases which have a value of 1 for NOSAMP but do have a value of HSEYR. This is because these cases were in the household at HSE but were either not the partner of a sample member at the time (but became one at Wave 3) or they had moved out (not having responded to ELSA) and were found to have moved back in again at Wave 3.

8.2 HSE Interview Status

Variable	Variable label	Original source
Hseint	Whether interviewed at HSE 1 Yes 2 No	Outcome of HSE interview

9 General Notes

9.1 Order of Variables

The variables have been ordered in the file according to their type. An alternative order would be to have those of each Wave clustered together, especially the outcome codes and Wave-specific identifiers, for example:

IDAHHW1
ISSUEW1
ELIGW1
FINSTAT
OUTINDW1
OUTHHW1
OUTSCW1

10 Appendices

10.1 Derivation of Self-Completion Weights

ELSA WAVE 3

- The analysis focused on ELSA core sample members only (from Cohorts 1 and 3, i.e. the Core Sample and the Refreshment Sample).
- Non-respondents to the self-completion questionnaire were defined by values of OUTSCW3=2 or 3. ELSA core members who were interviewed by proxy were not included in the analysis, and were not issued with the self-completion questionnaire.
- Using the Wave 3 cross-sectional weight (W3XWGT), the nature of response to the self-completion questionnaire was examined, using variables collected in the Wave 3 main interview. The variables examined included:

    - Age-group
    - Sex
    - Urban/rural indicator
    - Marital status
    - Government Office Region
    - Index of Multiple Deprivation (2004) quintiles
    - Ethnic group (white/non-white)
    - Financial unit type
    - Tenure
    - Highest educational qualification
    - Whether has living child (living with respondents, not with respondents)
    - Number of people in household
    - Current status (i.e. retired/employed/permanently sick or disabled/looking after home or family)
    - Equivalised income quintile
    - Self-assessed health

- A non-response weight to compensate for potential response bias to the self-completion questionnaire was based on a logistic regression model of response (1 = response, 0 = non-response) with the predictor variables entered by a forward stepwise selection procedure. The model was run using the Wave 3 cross-sectional weight. The variables remaining in the optimal model were:

    - Age-by-sex
    - Marital status
    - Region
    - Financial unit type
    - Self-assessed health
    - Whether has living child or not
    - White/non-white
    - Highest educational qualification
    - Equivalised income quintile
    - Current status
    - Tenure

- The predicted response probabilities from the final optimal model were converted into a non-response weight by obtaining their reciprocal (e.g. a response probability of 0.8 corresponds to a non-response weight of 1.25). Two extreme weights at the top end of the distribution were found. These were trimmed. In addition to avoid other large weights having an undue influence on the estimates the non-response weight was trimmed at the 97.5th percentile (in a similar fashion to the Wave 2 self-completion weight).
- The final weight to analyse the Wave 3 data (SCW3WGT) was obtained by multiplying the initial weight, W3XWGT, with the trimmed non-response weight. The weight was then scaled to sum to the number of respondents to the self-completion questionnaire (7,406).

ELSA WAVE 2

- The analysis focused on the ELSA core sample members only.
- Non-respondents to the self-completion questionnaire were defined by values of OUTSCW2=2 or 3. ELSA core members who were interviewed by proxy were not included in the analysis, and were not issued with the self-completion questionnaire.
- Using the Wave 2 interview weight (W2WGT), the nature of response to the self-completion questionnaire was examined. The variables examined included:

- Age-group
- Sex
- Urban/rural indicator
- Marital status
- Government Office Region
- Index of Multiple Deprivation (2004) quintiles
- Ethnic group (white/non-white)
- Financial unit type
- Tenure
- Education qualifications
- Whether has living child
- Number of people in household
- Current status (i.e. retired/employed/permanently sick or disabled/looking after home or family)
- Equivalised income quintile

- Eyesight condition
- Hearing condition.[1]

- A non-response weight to compensate for potential response bias to the self-completion questionnaire was based on a logistic regression model of response (1 = response, 0 = non-response) with the predictor variables entered by a forward stepwise selection procedure. The variables remaining in the optimal model were:

- Sex
- Age group
- Marital status
- Whether has living child
- Index of Multiple Deprivation quintiles
- Ethnic group (white/non-white)
- Type of financial unit
- Tenure
- Education qualifications
- Income quintile
- Current activity
- Self-reported eyesight.[2]

- The predicted response probabilities from the final optimal model were converted into a non-response weight by obtaining their reciprocal (e.g. a response probability of 0.8 corresponds to a non-response weight of 1.25). A number of extreme weights at the top end of the distribution were found. To avoid extreme weights having a large influence on the estimates the non-response weight was trimmed at the 97.5th percentile.
- The final weight to analyse the data SCW2WGT was obtained by multiplying the initial weight, W2WGT, with the trimmed non-response weight. The weight was then scaled to sum to the number of respondents to the self-completion questionnaire (7,803).

ELSA WAVE 1

- The analysis focused on the ELSA core sample members only.
- Non-respondents to the self-completion questionnaire included people who responded to the main interview but didn't fill in the questionnaire. By this definition, non-respondents to the self-completion included 158 ELSA core sample members who were interviewed by proxy.
- Using the W1WGT weight, the nature of response to the self-completion questionnaire was examined. The variables examined included:

  - Age group
  - Sex
  - Urban/rural indicator
  - Marital status
  - Government Office Region
  - Index of Multiple Deprivation (2000) quintiles
  - Ethnic group (white/non-white)
  - Type of benefit unit
  - Tenure
  - Education qualifications
  - Current employment status
  - Equivalised income quintile

[1] These two measures were used as proxy measures of general health. Unlike these two measures, the general health variables themselves (e.g. HEGENH) were not asked of proxy respondents.
[2] A test of an interaction between age and sex was not statistically significant.

- Whether took part in: (1)paid-work, (2) self-employed work, (3) voluntary work, (4) caring for a sick or disabled adult, (5) looked after home or family, or (6) training or education course in the last month
- Eyesight condition
- Hearing condition.[3]

- A non-response weight to compensate for potential response bias to the self-completion questionnaire was based on a logistic regression model of response (1 = response, 0 = non-response) with the predictor variables entered by a forward stepwise selection procedure. The variables remaining in the optimal model were:

  - Age-group
  - Government Office Region
  - Index of Multiple Deprivation quintiles
  - Ethnic group (white/non-white)
  - Type of benefit unit
  - Education qualifications
  - Whether took part in voluntary work or looked after home or family in the last month
  - Eyesight condition
  - Hearing condition.[4]

- The predicted response probabilities from the final optimal model were converted into a non-response weight by obtaining their reciprocal (e.g. a response probability of 0.8 corresponds to a non-response weight of 1.25). A number of extreme weights at the top end of the distribution were found. To avoid extreme weights having a large influence on the estimates the non-response weight was trimmed at the 97.5th percentile.
- The final weight to analyse the data SCW1WGT was obtained by multiplying the initial weight W1WGT with the trimmed non-response weight. The weight was then scaled to sum to the number of respondents to the self-completion questionnaire (10,332).

11 Contact Details

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[3] These two measures were used as proxy measures of general health. Unlike these two measures, the general health variables themselves (e.g. HEGENH) were not asked of proxy respondents.
[4] A test of an interaction between age and sex was not statistically significant.